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Attorney Docket No. 51821

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Barclay et al.

U.S.S.N.: 10/690,217

Art Unit: 1752

FILED: October 21, 2003

Examiner: Not Yet Assigned

FOR: PHOTORESISTS CONTAINING SI-POLYMERS

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on 9/3/2004.

By: Deanna M. Rivner  
Deanna M. Rivner

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, applicant(s) hereby submit(s) an Information Disclosure Statement for consideration by the Examiner.

**I. LIST OF PATENTS, PUBLICATIONS OR OTHER INFORMATION**

The patents, publications or other information submitted for consideration by the Examiner are listed on the PTO-1449 form, attached hereto.

In addition to the aforesaid references, Applicants wish to bring to the attention of the Examiner co-pending U.S. Application Serial No. 10/793,427, filed March 3, 2004 and U.S. Application Serial No. 10/785,424, filed February 23, 2004 which applications are assigned to the Assignee of the subject application. A copy of each of the two applications as filed is attached hereto. By citation of this co-pending applications, secrecy thereof is not waived.

**II. COPIES**

Submitted herewith is a legible copy of (i) non-patent literature and each foreign patent or English abstract of a foreign patent; (ii) each publication or that portion which caused it to be listed; and (iii) all other information or that portion which caused it to be listed.

Pursuant to 37 C.F.R. 1.98(a), Applicant is not required to furnish copies of the cited U.S. patents or patent application publications for all U.S. national patent applications filed after June 30, 2003.

**III. CONCISE EXPLANATION OF THE RELEVANCE**

All of the patents, publications or other information are in the English language or were cited in an English language Search Report, a copy of which is attached hereto (concise explanation not required).

**FEES**

**IV. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(b)**

(check one box)

- a. ☐ within three months of the filing date of a national application (37 C.F.R. § 1.97(b) (1)). No fee or certification is required.
- b. ☐ within three months of the date of entry of the national stage as set forth in § 1.491 in an international application (37 C.F.R. § 1.97(b) (2)). No fee or certification is required.
- c. ☒ before the mailing date of a first Action on the merits (37 C.F.R. § 1.97(b) (3)). No fee or certification is required. In the event that a first Office Action on the merits has been issued, please consider this IDS under 37 C.F.R. § 1.97(c) and see the certification under 37 C.F.R. § 1.97(e) below, or, if no certification has been made, charge our deposit account a fee in the amount of \$240.00 as required by 37 C.F.R. § 1.17(p).

**V. THIS IDS IS BEING FILED UNDER 37 C.F.R. § 1.97(c):**

(check one box)

before the mailing date of a Final Office Action under 37 C.F.R. § 1.113 (See 37 C.F.R. § 1.97(c) (1)) or before the mailing date of a Notice of Allowance under 37 C.F.R. § 1.311 (See 37 C.F.R. § 1.97(c) (2)).

- a. ☐ No certification; therefore, a fee in the amount of \$180.00 is required by 37 C.F.R. § 1.17(p).
- or
- b. ☐ See the certification below. No fee is required.

**VI. CERTIFICATION UNDER 37 C.F.R. § 1.97(e) (check only one box)**

The undersigned hereby certifies that

- a. ☐ each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS; or
- b. ☐ no item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

- c. ☐ Some of the items of information were cited in a communication from a foreign Patent Office. As to this information, the undersigned certifies that each item of information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing of this IDS. As to the remaining information, the undersigned hereby certifies that no item of this remaining information contained in the IDS was cited in a communication from a foreign Patent Office in a counterpart foreign application or, to the best of my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this statement.

☐

Enclosed please find a check in the amount of \$\_\_\_\_\_ for the above indicated fee.

☐

Please charge Deposit Account No. 04-1105 in the amount of \$180.00 for the above-indicated fee. A triplicate copy of this paper is attached.

☒

No fee is required.

If the Examiner has any questions concerning this IDS, he/she is requested to contact the undersigned. If it is determined that this IDS has been filed under the wrong rule, the PTO is requested to consider this IDS under the proper rule (with a petition, if necessary) and charge the appropriate fee to Deposit Account No. 04-1105.

Respectfully submitted,



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(617) 439-4444

FORM PTO-1449

INFORMATION DISCLOSURE STATEMENT



ATTY DOCKET NO.

51821

SERIAL NO.

10/690,217

APPLICANT(S): Barclay et al.

FILING DATE:

10/21/2003

ART UNIT:

1752

UNITED STATES PATENT DOCUMENTS

EXAM. INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FIL. DATE IF APPR
	AA	2,986,548	05/30/1961	McLoughlin et al.			
	AB	3,389,114	06/18/1968	Burzynski et al.			
	AC	3,969,543	07/13/1976	Roberts et al.			
	AD	4,223,121	09/16/1980	Burzynski			
	AE	4,349,609	09/14/1982	Takeda et al.			
	AE	4,399,266	08/16/1983	Matsumura et al.			
	AF	4,745,169	05/17/1988	Sugiyama et al.			
	AG	5,100,503	03/31/1992	Allman et al.			
	AH	5,240,813	08/31/1993	Watanabe et al.			
	AI	5,547,808	08/20/1996	Watanabe			
	AJ	5,612,170	03/18/1997	Takemura et al.			
	AK	5,691,396	11/25/1997	Takemura et al.			
	AL	5,731,126	03/24/1998	Takemura et al.			
	AM	5,882,844	03/16/1999	Tsuchiya et al.			
	AN	5,972,560	10/26/1999	Kaneko et al.			
	AO	6,087,064	07/11/2000	Lin et al.			
	AP	6,210,856	04/03/2001	Lin et al.			
	AQ	6,309,796	10/30/2001	Nakashima et al.			
	AR	6,342,562	01/29/2002	Kozawa et al.			
	AS	6,406,828	06/18/2002	Szmanda et al.			
	AT	6,420,084	07/16/2002	Angelopoulos et al.			

Examiner:

Date:

<b>FORM PTO-1449</b>  <b>INFORMATION DISCLOSURE STATEMENT</b>				<b>ATTY DOCKET NO.</b> 51821		<b>SERIAL NO.</b> 10/690,217	
				<b>APPLICANT(S):</b> Barclay et al.			
				<b>FILING DATE:</b> 10/21/2003		<b>ART UNIT:</b> 1752	
<b>UNITED STATES PATENT DOCUMENTS</b>							
<b>EXAM. INITIAL</b>		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>NAME</b>	<b>CLASS</b>	<b>SUB CLASS</b>	<b>FIL. DATE IF APPR</b>
	AU	6,420,088	07/16/2002	Angelopoulos et al.			
	AV	5,113,003	05/12/1992	Woods et al.			
	AW	6,150,488	11/21/2000	Martin			
	AX	4,831,174	05/16/1989	Elms			
	AY	2002/0090572 A1	07/11/2002	Sooriyakumaran et al.			
	AZ	2003/0219676 A1	11/27/2003	Barclay et al.			
	BA	2004/0161698 A1	08/19/2004	Kanagasabapathy et al.			
<b>FOREIGN PATENT DOCUMENTS</b>							
		<b>DOCUMENT NUMBER</b>	<b>DATE</b>	<b>COUNTRY</b>	<b>CLASS</b>	<b>SUB CLASS</b>	<b>TRAN YES/NO</b>
	CA	2001-040092 A2	02/13/2001	Japan			Abstract
	CB	2001-040283 A2	02/13/2001	Japan			Abstract
	CC	WO 02/091083 A1	11/14/2002	International			
<b>OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)</b>							
<b>Examiner:</b>				<b>Date:</b>			